

MEMO# 32820

October 9, 2020

SEC to Hold CCO Outreach Program for Investment Companies and Investment Advisers Virtually on November 19

[32820]

October 9, 2020 TO: Chief Compliance Officer Committee
Small Funds Committee RE: SEC to Hold CCO Outreach Program for Investment Companies and Investment Advisers Virtually on November 19

The Securities and Exchange Commission has announced that it plans to hold its next national compliance outreach seminar for investment companies and investment advisers virtually on **Thursday November 19, 2020 from Noon to 4:15 p.m. [Eastern]**. According to the SEC's announcement of the seminar, "both speakers and attendees will be participating in the program remotely. All live webcast attendees may view the program real-time, access presentation materials, and submit questions to the speakers during the presentation."^[1] Persons interested in watching the live broadcast are not required to register for it; instead, they just need to log into www.SEC.gov the day of the event.^[2]

This year's program will include the following sessions:

- Remarks from SEC Directors Marc Berger (Deputy Director, Enforcement), Dalia Blass (Director, Investment Management), and Pete Driscoll (Director, OCIE)
- Panel I: Information Security and Operational Resiliency
- Panel II: Undisclosed Conflicts of Interest
- Panel III: Registered Funds
- Panel IV: Hot Topics
- Closing Remarks

The moderator and panelists for each session can be found in the National Seminar Agenda, which is available at:

<https://www.sec.gov/ocie/compliance-outreach-program-national-seminar-111920>.

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endnotes

[1] See *SEC to Hold National Compliance Outreach Seminar for Investment Companies and Investment Advisers Virtually*, SEC Press Release No. 2020-249 (October 7, 2020), which is available at: <https://www.sec.gov/news/press-release/2020-249>. Questions for the panels may be submitted prior to the event at ComplianceOutreach@sec.gov.

[2] The Press Release notes there “there is a possibility that live access demand may exceed capacity.” The SEC will make a recording of the seminar available on its website following the event.

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